(REV 10:95)	
TRANSMITTAL LETTER TO THE UNITED STATES TAKIT 162	
DESIGNATED/ELECTED OFFICE (DO/EO/US)  U.S. APPLICATION NO. (If known,	see 37 CFR §1.5)
CONCERNING A FILING UNDER 35 U.S.C. §371 10/031	081
INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED	
PCT/JP00/08326 27 NOVEMBER 2000 17 MAY 2000	
TITLE OF INVENTION	,
METHOD OF DETERMINING STRUCTURE OF SOFT MATERIAL	,
APPLICANT(S) FOR DO/EO/US	
TERASAKI, Osamu, et al.	
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other in	formation:
1. This is a FIRST submission of items concerning a filing under 35 U.S.C. §371.	
2. This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. §371.	
This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay exame expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).	nination until the
A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed pr	iority date.
5. A copy of the International Application as filed (35 U.S.C. §371(c)(2))	
a. is transmitted herewith (required only if not transmitted by the International Bureau).	
as been transmitted by the international Bureau.	
c. is not required, as the application was filed in the United States Receiving Office (RO/US).	
6 translation of the International Application into English (35 U.S.C. §371(c)(2)).	
Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))	
a. are transmitted herewith (required only if not transmitted by the International Bureau).  h. have been transmitted by the International Bureau.	
c. have not been made; however, the time limit for making such amendments has NOT expired.  d. have not been made and will not be made.	
A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. §371(c)(3)).  An oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)).	
10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §3	371(c)(5))
Items 11. to 16. below concern document(s) or information included:	!
11. An Information Disclosure Statement under 37 C.F.R. §§1.97 and 1.98.	
An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. §§3.28 and 3.31 is incl	luded.
13. A FIRST preliminary amendment.	
A SECOND or SUBSEQUENT preliminary amendment.	
14. A substitute specification.	
15. A change of power of attorney and/or address letter.	
16. Other items or information:	
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JC13 Rec'd PCT/PTO 1 6 JAN 2002

CATION NO. (if kno	wn, see 37 CFR §1.5	5)	INTERNATIONAL APPLICATION N	0.	ATTORNEY'S DOCKET NUM	BER
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The following	fees are submitt	CALCULATIONS	PTO USE ONLY			
BASIC NATI	ONAL FEE (3					
Search Report	has been prepar	\$890.00				
International p	reliminary exan	nination fee p	aid to USPTO (37 CFR §1.48	\$2) \$710.00		
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Neither international s	ational prelimina earch fee (37 CF	ary examinati FR §1.445(a)(	on fee (37 CFR §1.482) nor (2)) paid to USPTO	\$1040.00		
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					charged:	
A check in	the amount of	\$890.00	to cover the above fees	is enclosed.		
Please char A duplicate	rge my Deposi	it Account N	No. 13-3402 in the amount	of \$	to cover the above fees	
The Comm	issioner is hereb	y authorized	to charge any additional fees	which may be required	l, or credit any overpayme	ent to
Deposit Ac	count No. 13	-3402. Ad	luplicate copy of this sheet is	enclosed.		
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#### DESCRIPTION

# METHOD OF DETERMINING STRUCTURE OF SOFT MATERIAL

# 5 Technical Field

The present invention relates to a method of determining structures of low-density materials referred to as soft materials. The term "soft material" as used herein signifies a material whose structure is disorder on an atomic scale but order on a meso-scale (from 20 to 500 angstroms). In particular, the invention is concerned with a method of determining three-dimensional structures of soft materials by use of high-resolution transmission electron microscopy images.

# Prior Art

In a traditional structure determination of a material, a sample of the material is extensively irradiated with beams, such as X rays, electron beams or neutron beams, and diffraction patterns (diffraction intensity curves) obtained from the irradiated volume are measured. By such a measurement, the average structure of a sample material in its entirety can be presumed. More specifically, the spatial distribution of scatterers, such as electrons, in unit cells as the smallest structural units is determined on the precondition that atoms are spaced in a completely periodic configuration, and an approximate solution thereto, or the coordinates describing the position of each atom, is determined on the assumption that each atom has a spherically symmetric electron distribution. In this case, the intensity of each diffraction point is

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generally measured on an individual basis by the use of a single crystal. From these intensities, the amplitudes of the structure factors are determined, and further the phases of the structure factors are estimated using some method. By inversely Fourier transforming these structure factors, a structure of the sample material can be determined.

In general, the distribution  $\rho(x,y,z)$  of a scatterer (atom) concerned with diffraction can be expanded to the following Fourier series when the crystal structure factor is represented as F(h,k,l), the phase factor as  $\phi(h,k,l)$  and the scatterer volume as V:

$$\rho(x,y,z) = (1/V) \Sigma(h) \Sigma(k) \Sigma(l) F(h,k,l) \exp\{-2\pi (hx+ky+lz)\} \cdots (1)$$
 
$$F(h,k,l) = ABS\{F(h,k,l)\} \exp\{i\phi(h,k,l)\} \cdots (2)$$
 wherein h, k and l are indices of diffraction planes.

Accordingly, the structure  $\rho(x,y,z)$  can be uniquely determined from inverse Fourier transform so long as the crystal structure factor F(h,k,l), namely the amplitude ABS $\{F(h,k,l)\}$  and the phase  $\phi(h,k,l)$ , is found with respect to a number of hkl reflections.

However, the diffraction means generally adopted for structure determination (such as X-ray diffraction, electron diffraction or neutron-beam diffraction) enables nothing but measurements of diffraction intensities of hkl reflections, or the absolute values of crystal structure factors ABS{F(h,k,l)}, but uniquely determination of the phases  $\phi(h,k,l)$  cannot be made thereby. Thus, the traditional diffraction means have a drawback that estimations of the phases of the crystal structure factors require a premise that diffraction intensity

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measurements have already been made on a great number of diffraction indices.

Further, the traditional diffraction techniques as mentioned above are developed on a basis of periodicity of bonds at an atomic level, so that it is impossible for these techniques to clear up structures of soft materials. This is because, in the diffraction from a soft material structure, several reflection lines are observed in the low scattering-angle region, while in the high scattering-angle region nothing but diffuse scattering is observed; as a result, it is impossible to obtain diffraction intensities for many reflections. For instance, the powder X-ray diffraction pattern of a mesoporous silica SBA-1, is shown in Fig. 4. From this pattern, it is impossible to determine not only a space group but also a crystal system (structural unit cell parameters  $a,b,c,\alpha,\beta,\gamma$ ).

Additionally, the term "soft material" as used herein means a material whose structure is disorder on an atomic scale but in a good order on a meso-scale (from 20 to 500 angstroms).

#### 20 Problems that the Invention is to solve

As a result of our intensive studies to determine structures of soft materials, it has been found that by taking advantage of low density of a soft material and small dynamic scattering effect of electrons transmitted by a soft material, it becomes possible to uniquely determine the three-dimensional structure of a soft material from high-resolution transmission electron microscopy images, although univocal determination thereof was impossible by the use of the

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traditional X-ray or electron diffraction. By this finding, we have achieved the present invention.

Therefore, an object of the invention is to provide a method of easily determining three-dimensional structures of soft materials without making assumptions although it was hitherto difficult to determine them.

# Means for Solving the Problems

The aforesaid object of the invention is attained with method of determining a soft material structure, characterized by comprising steps of taking transmission electron microscopy images of soft materials crystallographically different directions incident of electrons, Fourier transforming each of the imaqes photographed, evaluating therefrom amplitudes and phases of three-dimensional crystal structure factors, and further performing inverse Fourier transforms by use of the values evaluated, thereby determining a structure of the soft material.

# Brief Description of the Drawings

Fig. 1 is a photograph of the high-resolution transmission electron microscopy image taken from a thin film sample of the mesoporous silica SBA-1 with electron beams in the direction [100]. Fig. 2 shows a three-dimensional structure of the mesoporous silica SBA-1 determined by the present method. Fig. 3 shows a three-dimensional structure of the mesoporous silica SBA-16. Fig. 4 shows a powder X-ray pattern (CuKα) of the mesoporous silica SBA-1 in the low scattering-angle region (20: 0° to 10°). Additionally, the

characters A and B each in Fig. 2 denote different cavities.

Mode for Carrying Out the Invention

The soft materials relating to the invention, which signify materials whose structures are disorder on an atomic scale but order on a meso-scale (from 20 to 500 angstroms), generally include light elements, porous materials, combinations of light elements, combinations of porous materials and combinations of light elements and porous materials. More specifically, mesoporous materials, surfactants, (copolymerized) macromolecules, biological membranes and liquid crystals are included in the soft materials to which the present invention is applicable.

A transmission electron microscopy image, as is evident from its principle, is a projection of the scatterer atom distribution  $\rho(x,y,z)$  viewed from the direction of incident electron beams. In the case of Z-axis incidence, for instance, the transmission electron microscopy image is observed exactly as information concerning the x and y coordinates of the atom distribution integrated with respect to z of  $\rho(x,y,z)$ . In other words, a group of data for the equation F(h,k,0) = $ABS\{F(h,k,0)\}\exp\{i\phi(h,k,0)\}\$  are determined uniquely on a series of reciprocal lattice points expressed as h,k,l (1=0) by the foregoing equation (1). In analogy with the above case, transmission electron microscopy images are observed respectively from a plurality of directions independent of the above, and subjected to Fourier transform processing to evaluate  $F(h, k, l) = ABS\{F(h, k, l)\} \exp\{i\phi(h, k, l)\}$  with respect reciprocal lattice points in the three-dimensional

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reciprocal space within the limits of resolutions of the images, and then inversely Fourier transformed; as a result, a three-dimensional structure is determined uniquely.

When the foregoing method is carried out, the mean free path of electrons inside a material is generally short because of strong interaction between the electrons and the material, and the electrons are scattered multiply during the propagation through the material sample to produce dynamic scattering effect. Therefore, the structural analysis by such a method has so far been thought to be difficult. However, as the scattering power of a soft material is weak, the dynamic scattering effect as mentioned above becomes negligible when the thickness of a soft material sample is reduced to 50 nm or below. The preparation of such a thin sample can be performed according to known methods. The thinner the sample thickness, the better result is obtained.

In order to determine the three-dimensional structure of a soft material with satisfactorily high accuracy, it is appropriate that a high-resolution transmission microscope be used as the transmission electron microscope in the invention, and it is desirable that at least three different crystallographically significant directions be selected as the incident directions of electrons and transmission electron microscopy images be formed under incidence of electron beams from these directions respectively. The expression "crystallographically significant incident directions of electrons" as used herein means incident-axis directions having high linear independence from one another. For instance,

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those incident directions are [100], [110], [111] and [211] in the case of cubic crystals. Needless to say, when transmission electron microscopy images are photographed in more directions of incident electrons and the information derived therefrom is brought into full play, the higher accuracy can be attained in determination of a three-dimensional structure.

In order to perform Fourier transforms of transmission electron microscopy images in the invention, it is required that those images be formed directly on a CCD camera or photographed and then converted into electronic form by means of an image reader. From these data of electronic form, Fourier transform patterns of high-resolution images are obtained in accordance with the usual method. Then, the phases of diffracted waves are read on the assumption of weak topological object approximation. With respect to the diffracted waves in the region of high spatial frequencies, it is desirable that influence of aberration in an objective lens be reduced through estimation of the amount of defocus by the use of a Wiener filter.

In the next place, only peaks on the reciprocal lattice points are selected, and the integral intensity of each peak, from which background is already subtracted in accordance with the method of least squares, is measured. In the case of Fourier diffraction patterns, the phases are calculated simultaneously with the intensity measurement.

When lattice constants are undecided, they are calculated from at least two diffraction patterns obtained in the same field of view and the tilt angle of a sample stage used

in each measurement. Therefrom, several sets of potential lattice constants are derived since the stage angles of now-available electron microscopes are poor in accuracy. When the lattice constants are known, index assignment is carried out for each of the diffraction patterns.

In order to perform structural analysis based on these data, the diffraction data in the TEXT file or the program memory are combined first, and then normalized on the basis of common reflection data. Further, the averaging is carried out by symmetry operation of point groups. At this point, the space group is assumed, and the combined data obtained is stored as a TEXT file.

Fourier diffraction patterns of low spatial resolution (0.3 mm or above) are data of diffraction peaks with phases, while Fourier diffraction patterns of high spatial resolution (0.1 mm or below) are data of diffraction peaks without phases.

Accordingly, each set of these data is read from the TEXT file or the program memory, and phase extension is made by conferring phases on the latter on the basis of the phases of the former.

Then, the diffraction data with phases are read from the TEXT file or the program memory, three-dimensional fast Fourier transform (3D-FFT) thereof is performed to obtain a three-dimensional potential distribution, and peak positions in this distribution are analyzed to assign atom positions.

The invention will now be illustrated in greater detail by reference to the following examples, but these examples should not be construed as limiting the scope of the invention

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in any way.

# Example 1

1 is a high-resolution transmission electron microscopy image obtained by taking a thin film sample of mesoporous silica (SBA-1: Science, 279 (1998) 548-552) under irradiation with electron beams in the direction [100]. This figure shows that the sample has sufficient order on a meso-scale. Particularly in the figure, it is noted that the low-contrast image area corresponding to the periphery of the sample (having a thickness of 50 nm or below) is a region wherein dynamic scattering effect is negligible. The light-and-shade distribution of the image corresponding to the periphery part (50 nm or below in thickness) of the sample was measured with a CCD camera, and the electronic data thus obtained on the light-and-shade distribution were Fourier transformed to evaluate amplitudes and phases of the crystal structure factors. Then, a two-dimensional Fourier diffraction pattern was determined as the distribution of the squared amplitudes. Similarly to the above, transmission electron microscopy images were photographed under irradiation with electron beams directions [110], [111]incident from the and [112] two-dimensional Fourier therefrom respectively, and diffraction patterns were determined.

By the use of all of these diffraction patterns was made a distribution of diffraction intensities on the three-dimensional reciprocal lattice points. From the result obtained, it was determined that the sample has a space group of pm-3n. Further, the origin point of space coordinates was

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sought on the basis of the space group determined, and structure factors F(h,k,l) of the three-dimensional reciprocal lattice space were obtained as the phase information and the amplitude information on crystal structure factors. By inversely Fourier transforming those structure factors. the scatterer distribution corresponding to the equation (1) was evaluated, and it was determined that SBA-1 has a structure shown in Fig. 2. More specifically, the structure determined is a structure that voids A and B having different sizes are arranged in amorphous silica in a V3Si configuration (A3B). Additionally, the lattice constant "a" was 73 angstrom.

#### Example 2

Three-dimensional structures of mesoporous silicas SBA-6 and SBA-16 synthesized under conditions different from that of the mesoporous silica SBA-1, the structures of which had not been elucidated, were each determined using the same method as in Example 1. As a result, it was found that the mesoporous silicas SBA-6 and SBA-1 were identical in structure but different in lattice constant (a=146 angstrom in the case of SBA-6) and sizes of voids A and B. On the other hand, as shown in Fig. 3, the three-dimensional structure of SBA-16 was found to be different from those of SBA-1 and SBA-6, to contain voids which are about 95 angstrom in size and arranged in the form of body-centered cubic lattice, and to have a lattice constant of 133 angstrom.

#### Claims

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- 1. A method of determining a soft material structure, characterized in that the soft material structure is determined by taking transmission electron microscopy images of a soft material under conditions that a plurality of crystallographically significant directions are selected in succession as incident axes of electrons, Fourier transforming each of the images photographed, evaluating therefrom amplitudes and phases of three-dimensional crystal structure factors, and further performing inverse Fourier transforms by use of the values evaluated.
- 2. A method of determining a soft material structure as described in claim 1, wherein the transmission electron microscopy images are photographed from at least three different directions.
- 3. A method of determining a soft material structure as described in claim 1, wherein the soft material is a light element, a porous material, a combination of light elements, a combination of porous materials or a combination of a light element and a porous material.
- 4. A method of determining a soft material structure as described in claim 1, wherein the soft material is a substance selected from the group consisting of mesoporous materials, surfactants, copolymerized macromolecules, biological membranes and liquid crystals.
- 5. A method of determining a soft material structure as described in claim 3, wherein the soft material is a substance selected from the group consisting of mesoporous materials,

surfactants, copolymerized macromolecules, biological membranes and liquid crystals.

6. A method of determining a soft material structure as described in claim 1, wherein the images used for Fourier transform are partial areas of images corresponding to no greater than 50 nm-thick parts of a sample of the soft material.

#### APPLICATION DATA SHEET

# APPLICATION INFORMATION

Application Type::

REGULAR

Subject Matter::

UTILITY

CD-ROM or CD-R?::

NONE

Title::

METHOD OF DETERMINING

STRUCTURE OF SOFT MATERIAL

Attorney Docket Number::

**TAKIT 163** 

#### INVENTOR INFORMATION

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Status::

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Postal or Zip Code of Mailing Address::

980-0022

# DOMESTIC PRIORITY INFORMATION

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	National Stage of	PCT/JP00/08326	11/27/00

# FOREIGN PRIORITY INFORMATION

Application Number::	Country::	Filing Date::	Priority Claimed::
		05/17/00	YES

# ASSIGNMENT INFORMATION

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**CORPORATION** 

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Country of Mailing Address:: Japan

Postal or Zip Code of Mailing Address:: 351-0198

# COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY (Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought of the invention entitled:

plural na	ames are listed below) of	the subject matter which is claimed a	nd for which a patent is sought of t	the invention entitled:							
	METHOD O	F DETERMINING STRUCTUR	E OF SOFT MATERIAL								
the spec	ification of which (checl			,							
	is attached hereto.	•									
	was filed as United St	ates application									
	Serial No.	No.		,							
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I hereby	y state that I have review	state that I have reviewed and understand the contents of the above-identified specification, including the claims, as									
		by any amendment referred to above.  edge the duty to disclose information which is material to the patentability of this application in accordance with Title									
37, Cod	e of Federal Regulations	§1.56(a).	patentability of this application in	accordance with Title							
I hereby	claim priority benefits un	der Title 35, United States Code, §11	9 of the following United States Pr	ovisional Application							
one cou	ntry other than the Unite	or patent or inventor's certificate or of a cd States of America listed below and	have also identified below any fore	gign application(s) for							
patent of States of	or inventor's certificate of America filed by me on	r any PCT international application(s the same subject matter having a filir	a) designating at least one country	other than the United							
is claim	ed:		•								
PRIOR U.S. P	ROVISIONAL AND FOREIG	GN/PCT APPLICATION(S) AND ANY PRIC	RITY CLAIMS UNDER 35 U.S.C. 119:								
(if	COUNTRY PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119							
J	APAN	2000-145480	May 17, 2000	⊠ yes □ no							
			,	□ YES □ NO							
				□ YES □ NO							
				□ YES □ NO							
				□ yes □ no							

Combined Declaration For Patent Application and Power of Attorney (Continued) (Includes Reference to PCT, International Applications)									ATTORNEY'S DOCKET NUMBER			
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:												
	U.S. APPI	LICATION NUM	BER			1	U.S. FILING DATE	PAT	ENTED	PENDING	ABANDONED	
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2	(27,969); Alan (30,595); John	E.J. Braniga A. Sopp (33, s E. Ruland (	n (20,5) 103); R 37,432	65); John Lichard M ), Nancy	R. Moses (24 . Lebovitz (37 Axelrod (44,0	1,983 7,067 114)	oint I. William Millen (19,544); b); Harry B. Shubin (32,004); Bri 7); John H. Thomas (33,460); Ca and Jennifer J. Branigan (40,921 rewith.	on P. H. therine	leaney (32 M. Jovce	2,542); Richard J (40.668): James	Traverso T. Moore	
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FULL NAME FAMILY NAME FIRST GIVEN NAME  TERASAKI  OSAMI							ST GIVEN NAME <u>O</u> samu	SECOND GIVEN NAME .				
	RESIDENCE & CITY Sendai-shi, Miyagi						STATE OR FOREIGN COUNTRY  Japan  CO			COUNTRY OF CITIZENSHIP  Japan		
	POST OFFICE ADDRESS	strеет 1,-7-7, Мо	niwa	dai, Tai	haku-ku	CIT	<sup>y</sup> Sendai-shi, Miyagi		state & zip code/country 982-0252 Japan			
FULL NAME OF INVENTOR OHSUNA  RESIDENCE & CITY CITIZENSHIP Sendai-shi, Miyagi						FIR:	st given name Tetsu		SECOND G	IVEN NAME		
						ÉTATE OR FOREIGN COUNTRY  Japan			COUNTRY OF CITIZENSHIP  Japan			
POST OFFICE STREET CITY STATE & ZIP CODE/COUNTRY ADDRESS 2-5-3-703, Itsutsubashi, Aoba-ku Sendaj-shi, Miyagi 980-0022 Japan								pan				
2	FULL NAME OF INVENTOR	FAMILY NAMI	3			FIRST GIVEN NAME			SECOND GIVEN NAME			
0 3	RESIDENCE & CITIZENSHIP	CITY				STA	TE OR FOREIGN COUNTRY		COUNTRY OF CITIZENSHIP			
	POST OFFICE ADDRESS	STREET -				CITY			STATE & ZIP CODE/COUNTRY			
,	FULL NAME OF INVENTOR	FAMILY NAME					FIRST GIVEN NAME		SECOND GIVEN NAME			

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Co:	Combined Declaration for Patent Application and Power of Attorney (Continued)  ATTORNEY'S DOCKET NUMBER  (Includes Reference to PCT International Applications)								
2	FULL NAME OF INVENTOR	FAMILY NAME		FIRST GIVEN	INAME	SECOND GIVEN NAME			
0 5	RESIDENCE & CITIZENSHIP	CITY		STATE OR FO	OREIGN COUNTRY	COUNTRY OF CITIZENSHIP			
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6	POST OFFICE ADDRESS	STREET		CITY		STATE & ZIP C	ODE/COUNTRY		
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	believed to be punishable by	re that all statements made herein true; and further that these staten fine or imprisonment, or both, un y jeopardize the validity of the ap	nents were der section	e made with n 1001 of T	the knowledge that willful false itle 18 of the United States Cod	e statements a	and the like so made are		
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